

# OPS-705 Operations Policies and Procedures

Secret

2011-04-01

## OPS-705 HUMAN SOURCES

### 1. INTRODUCTION

#### Objective

1.1 The Service is committed to ensuring, to the greatest extent possible, the safety and security of human sources  
The objective of this policy is to provide with direction regarding human source

#### Scope

1.2 This policy, in conjunction with OPS-701, "Human Sources - Human Source Program" and OPS-702, "Human Sources - Case Management" and OPS-806, Human Sources, outlines the principles and standards pertaining to the of human sources.

1.3 This policy applies to all active human sources within the Service's human source inventory and to every employee involved in human source operations.

#### Policy Centre

1.4 The Human Sources and Operations Security (HSOS) Branch is the policy centre for all matters regarding the Human Source Program. Within the HSOS Branch:

#### Authorities

1.5 The following authorities provide direction in this policy:

Canadian Security Intelligence Service (CSIS) Act

Ministerial Direction for Operations (2008 10 29)

Ministerial Direction on Information Sharing with Foreign Agencies (2009 05 14)

DDO Directive - "Disclosure of Service Information" (2007 11 14)

DDO Directive - "Disclosure of Service Information to the RCMP" (2010 01 13)

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## Definitions

1.6 For definitions of specific terms used in this policy, refer to ["Glossary of Terms and Definitions"](#).

## Temporary Authority

1.7 Unless otherwise specified, when a specific position or title is mentioned in this policy, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

## Delegation of Authority

1.8 Where identified in policy, the term "or designate" denotes the option to delegate an authority to an assigned individual or position.

1.8.1 Notwithstanding any delegation of authority contained within this policy, any issue that is likely to cause embarrassment or controversy for the Government of Canada (GoC) overrides the delegated authority and must be immediately reported to the appropriate Service Executives via HSOS.

## 2. RESPONSIBILITIES

2.1

### Director General, Human Sources and Operations Security

2.2 The Director General, Human Sources and Operations Security (DG HSOS) is responsible for briefing the appropriate Service Executives, Headquarters Directors General (HQ DG) and Regional Directors General (RDG) on all significant matters concerning the of a human source.

2.3 The DG HSOS, in consultation with the responsible RDG and Headquarters (HQ) Branch, is responsible for overseeing Service initiated human source

## **Headquarters Directors General**

2.4 HQ DGs are jointly responsible with RDGs for managing and providing support to a human source

## **Regional Directors General**

2.5 RDGs are responsible for managing human source

2.6 RDGs are jointly responsible with HQ DGs for managing and providing support to a human source

## **3. HUMAN SOURCE**

### **Human Source**

3.1

For additional information and guidance on human source  
sections 2 and 3 of OPS-705-1, "Procedures - Human Sources"

refer to

3.2

3.3

### **Human Source**

3.4

For additional information and guidance on human source  
refer to section 4 of OPS-705-1, "Procedures - Human Sources"

### **Human Source**

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4.1

4.2

will be assessed in accordance with section 5 of OPS-705-1, "Procedures

- Human Sources

4.3

will be done in accordance with section 5 of OPS-705-1, "Procedures - Human Sources

4.4

4.5

For additional information and guidance on a  
refer to section 6 of OPS-705-1, "Procedures - Human Sources.

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2013-01-08

**OPS-705-1 PROCEDURES - HUMAN SOURCES****1. INTRODUCTION****Scope**

1.1 These procedures outline the approval authorities and reporting requirements related to the of human sources.

**2. HUMAN SOURCE**

2.1 Employees should be familiar with the provisions of section 3 of OPS-705, "Human Sources regarding human source

**Process**

2.2

2.3

2.4

2.5

2.6

2.7

**Approval Authorities**

2.8

2.9

### **Reporting Requirements**

2.10 The request to human source to conduct operational should contain the following information, in addition to addressing the requirements in

## **3.**

### **HUMAN SOURCE**

3.1 should be familiar with the provisions of section 3 of OPS-705, "Human Sources regarding human source

#### **Process**

3.2

3.3

3.4

3.5

3.6

**Approval Authorities**

3.7

3.8

**Reporting Requirements**

3.9 The reporting requirements for outlined human source' are the same as those in paragraph 4.4 below. Additionally, the report must also identify if the human source

**4. HUMAN SOURCE**

4.1 should be familiar with the provisions of section 3 of OPS-705, "Human Sources regarding human source

**Process**

4.2

**Approval Authorities**

4.3

**Reporting Requirements**

4.4 The report should contain the following information:

## 5. HUMAN SOURCE

5.1 should be familiar with the provisions of section 4 of OPS-705, "Human Sources regarding human source

### Process

5.2

5.3

5.4

### Reporting Requirements

5.5 The report should contain the following information:

## 6.

6.1 should be familiar with the provisions of section 4 of OPS-705, "Human Sources regarding

### Process

6.2

6.3

#### **Approval Authorities**

6.4

#### **Reporting Requirements**

6.5 The report should contain the following information:

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# OPS-705-1 Operations Policies and Procedures

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## OPS-705-1 PROCEDURES - HUMAN SOURCES

### 1. INTRODUCTION

#### Scope

- 1.1 These procedures outline the approval authorities and reporting requirements related to the of human sources.

#### Definitions

- 1.2 For definitions of specific terms used in procedures, refer to "Glossary of Terms and Definitions".

#### Temporary Authority

- 1.3 Unless otherwise specified, when a specific position or title is mentioned in procedures, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

#### Delegation of Authority

- 1.4 Where identified in procedures, the term "or designate" denotes the option to delegate an authority to an assigned individual or position.
- 1.4.1 Notwithstanding any delegation of authority contained within these procedures, any issue that is likely to cause embarrassment or controversy for the Government of Canada (GoC) overrides the delegated authority and must be immediately reported to the appropriate Service Executives via Human Sources and Operations Security (HSOS).

### 2. HUMAN SOURCE

- 2.1 Employees should be familiar with the provisions of section 3 of OPS-705, "Human Sources regarding human source

#### Process

- 2.2

- 2.3

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2.4

2.5

2.6

2.7

## Approval Authorities

2.8

2.9

## Reporting Requirements

2.10 The request to a human source to conduct operational should contain the following information, in addition to addressing the requirements in

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## 3. HUMAN SOURCE

3.1 should be familiar with the provisions of section 3 of OPS-705, "Human Sources - regarding human source

### Process

3.2

3.3

3.4

3.5

3.6

### Approval Authorities

3.7

3.8

### Reporting Requirements

3.9

The reporting requirements for human source are the same as those outlined in paragraph 4.4 below. Additionally, the report must

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also identify if the human source

## 4. HUMAN SOURCE

4.1 should be familiar with the provisions of section 3 of OPS-705, "Human Sources  
regarding human source

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## Process

4.2

### Approval Authorities

4.3

### Reporting Requirements

4.4 The report should contain the following information:

## 5. HUMAN SOURCE

5.1 should be familiar with the provisions of section 4 of OPS-705, "Human Sources - regarding human source

## Process

5.2

5.3

5.4

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## Reporting Requirements

5.5 The report should contain the following information:

6.

6.1 should be familiar with the provisions of section 4 of OPS-705, "Human Sources regarding

### Process

6.2

6.3

6.4

### Approval Authorities

## Reporting Requirements

6.5 The report should contain the following information:

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## OPS-706 HUMAN SOURCES

### 1. INTRODUCTION

#### Objective

1.1 An integral part of the Human Source Program is the secure protection of human sources who have provided assistance to the Service. The Service is committed to ensuring human sources successfully. The objective of this policy is to provide employees with direction regarding the

#### Scope

1.2 This policy, in conjunction with OPS-701, "Human Sources - Human Source Program", outlines the principles and standards pertaining to the of human sources.

1.3 This policy applies to all human sources, active or inactive, within the Service's human source inventory, and to every employee involved in human source operations.

#### Policy Centre

1.4 The Human Sources and Operations Security (HSOS) Branch is the policy centre for all matters regarding the Human Source Program. Within the HSOS Branch:

#### Authorities

1.5 The following authorities provide direction in this policy:

Canadian Security Intelligence Service (CSIS) Act

Financial Administration Act (FAA)

Immigration and Refugee Protection Act (IRPA)

Ministerial Direction for Operations (2008 10 29)

Ministerial Direction on Information Sharing with Foreign Agencies (2009 05 14)

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DDO Directive - "Disclosure of Service Information" (2007 11 14)

DDO Directive - "Disclosure of Service Information to the RCMP" (2010 01 13)

Treasury Board Policy on Financial Management Governance

Treasury Board Policy on Internal Control

## Definitions

1.6 For definitions of specific terms used in this policy, refer to "Glossary of Terms and Definitions".

## Temporary Authority

1.7 Unless otherwise specified, when a specific position or title is mentioned in this policy, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

## Delegation of Authority

1.8 Where identified in policy, the term "or designate" denotes the option to delegate an authority to an assigned individual or position.

1.8.1 Notwithstanding any delegation of authority contained within this policy, any issue that is likely to cause embarrassment or controversy for the Government of Canada (GoC) overrides the delegated authority and must be immediately reported to the appropriate Service Executives via HSOS.

## 2. RESPONSIBILITIES

### Director

2.1 The Director is responsible for authorizing the such cases, the Director may consult the Minister. of a human source. In

2.2 The Director is responsible for authorizing the source of a Service human

2.3 The Director is responsible for authorizing the request to seek of assistance

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2.4

2.5

## Chief Financial Officer

2.6 The Chief Financial Officer (CFO) is responsible for supporting the Director for overall stewardship of financial responsibilities and for the integrity of the Service's overall financial management culture and capabilities.

## Comptroller

2.7 The Comptroller is responsible for conducting regular Financial Management Compliance Reviews to ensure adherence to Treasury Board of Canada and CSIS policies, procedures, regulations and the *FAA*.

## Director General, Human Sources and Operations Security

2.8 The Director General, Human Sources and Operations Security (DG HSOS) is responsible for providing advice, direction and assistance to Headquarters (HQ) Branches and Regions on the of human sources.

## Human Sources

2.9 HSOS is responsible for coordinating the process of a human source.

2.10 HSOS is responsible for providing support and welfaring to human sources, as required.

## HUMAN SOURCE

3.1

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3.2

For additional information and guidance on the human source, refer to sections 3 and 4 of OPS-706-1, "Procedures - Human Sources" of a

3.3

3.4 All human sources who are also active human sources under direction will be subject to the requirements indicated in OPS-702, "Human Sources - Case Management".

## 4. HUMAN SOURCE

4.1

For additional information and guidance on the of a human source, refer to sections 3 and 4 of OPS-706-1, "Procedures - Human Sources"

4.2

4.3 All human sources under direction will continue to be subject to the requirements indicated in OPS-702, "Human Sources - Case Management".

## 5. ASSISTANCE

5.1

For additional information and guidance on the type of assistance that can be provided, refer to OPS-706-1, "Procedures - Human Sources"

5.2

For additional information and guidance on the type of assistance that can be provided, refer to "Procedures - Human Sources"

For additional information and OPS-706-1,

## 6. COMPENSATION

### Human Source

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6.1 Any remuneration and/or financial support provided to a human source is the sole responsibility of the

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6.2

any remuneration should be made in accordance with OPS-707, "Human Sources - Compensation".

## Human Source

6.3

additional information or guidance on compensating a human source, refer to section 5 of OPS-706-1, "Procedures - Human Sources"

For  
human source,

## OPS-706-1 PROCEDURES - HUMAN SOURCES

### 1. INTRODUCTION

#### Scope

1.1 These procedures outline the process for

a human source

#### Definitions

1.2 For definitions of specific terms used in procedures, refer to "Glossary of Terms and Definitions".

#### Temporary Authority

1.3 Unless otherwise specified, when a specific position or title is mentioned in procedures, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

#### Delegation of Authority

1.4 Where identified in procedures, the term "or designate" denotes the option to delegate an authority to an assigned individual or position.

1.4.1 Notwithstanding any delegation of authority contained within these procedures, any issue that is likely to cause embarrassment or controversy for the Government of Canada (GoC) overrides the delegated authority and must be immediately reported to the appropriate Service Executives via Human Sources and Operations Security (HSOS).

### 2. HUMAN SOURCES AND OPERATIONS SECURITY

2.1 HSOS, in close cooperation with the responsible Headquarters Director General (HQ DG) and Regional Director General (RDG), or their designates, coordinates the of a human source.

2.2

### HUMAN SOURCE

3. Employees should be familiar with the provisions of OPS-706, "Human Sources" regarding the of human sources.

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## Types of Assistance

3.2 The types of assistance that can be provided to source include, but are not limited to:

## Process

3.3

3.4

3.5

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3.8

3.9

3.10

guidance on the assessment, recruitment,  
OPS-702, "Human Sources - Case Management".

For additional information and  
and management of a human source, refer to

## Approval Authorities

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3.11

3.12

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3.14

## Reporting Requirements

3.15

## Reporting Requirements

3.16

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## Reporting Requirements - Director

3.17

## Reporting Requirements

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4.

## HUMAN SOURCE

4.1 Employees should be familiar with the provisions of OPS-706, "Human Sources of human sources.

### Types of Assistance

4.2 The types of assistance that can be provided to human source are the same as those outlined for a human source in paragraph 3.2 above.

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## Process

4.3

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## Approval Authorities

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## Reporting Requirements

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## 5. COMPENSATION

5.1 Employees should be familiar with the provisions of section 6 of OPS-706, "Human Sources prior to making financial arrangements with a human source.

5.2

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## Compensation

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## Compensation

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## Approval Authority

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2013-01-08

**OPS-707 HUMAN SOURCES - COMPENSATION****1. INTRODUCTION****Objective**

1.1 The Service is committed to ensuring that appropriate processes and controls are in place with regards to human source compensation. The objective of this policy is to provide direction on human source compensation and to ensure that all payments are managed with integrity, transparency and accountability.

**Scope**

1.2 This policy, in conjunction with OPS-701, "Human Sources - Human Source Program", OPS-702, "Human Sources - Case Management", ADM-501, "Delegation of Financial Signing Authorities", outlines the principles and standards that govern human source compensation in support of human source operations.

1.3 The principles and standards described in this policy apply to all human sources, active or inactive, within the Service's human source inventory and to every employee involved in human source operations.

**Policy Centre**

1.4 The Human Sources and Operations Security (HSOS) Branch is the policy centre for all matters regarding the Human Source Program. Within the HSOS Branch:

1.5 The Finance Branch is the policy centre for the stewardship of financial resources with respect to human source compensation.

**Authorities**

1.6 The following authorities provide direction in this policy:

*CSIS Act**Financial Administration Act (FAA)**Federal Accountability Act (FedAA)**Ministerial Direction for Operations (2008 10 29)*

*Accountable Advance Regulations*

Treasury Board Directive on Account Verification

Treasury Board Policy on Financial Management Governance

Treasury Board Policy on Internal Control

**Definitions**

- 1.7 For definitions of specific terms used in this policy, refer to "[Policy Glossary](#)".

**Temporary Authority**

- 1.8 Unless otherwise specified, when a specific position or title is mentioned in this policy, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

**Delegation of Authority**

- 1.9 Where identified in policy, the term "or designate" denotes the option to delegate an authority to an assigned individual or position within their area of responsibility.

- 1.9.1 Notwithstanding any delegation of authority contained within this policy, any issue that is likely to cause embarrassment or controversy for the Government of Canada (GoC) overrides the delegated authority and must be immediately reported to the appropriate Service Executives via HSOS.

**2. RESPONSIBILITY****Director**

- 2.1 The Director is responsible for the overall management of human source compensation and for seeking Ministerial approval when offers of remuneration exceed the Director's financial signing authority.

**Chief Financial Officer**

- 2.2 The Chief Financial Officer (CFO) is responsible for:

supporting the Director for overall stewardship of financial responsibilities and for the integrity of the Service's overall financial management culture and capabilities;

ensuring suitable risk based account verification procedures are in place, in compliance with the *FAA*, Treasury Board Policies and Directives;

establishing and communicating clear responsibilities for employees with delegated signing authorities; and

monitoring adherence to these responsibilities.

#### **Comptroller**

2.3 The Comptroller is responsible for conducting regular Financial Management Compliance Reviews to ensure adherence to Treasury Board of Canada and CSIS policies, procedures, regulations and the *FAA*.

#### **Director General, Human Sources and Operations Security**

2.4 The Director General, Human Sources and Operations Security (DG HSOS) is responsible for briefing the appropriate Service Executives, Headquarters Directors General (HQ DG) and Regional Directors General (RDG) on all significant matters concerning human source compensation.

2.5 The DG HSOS is responsible for providing advice, direction and assistance to Headquarters (HQ) Branches and Regions on human source compensation in support of human source operations.

#### **Regional Directors General**

2.6 Regional Directors General are responsible for:

- managing human source compensation in the Regions;
- briefing the DG HSOS on all significant matters concerning human source compensation in the Regions;
- locally implementing the Service's human source compensation policy; and
- ensuring that expenditures related to human source operations are consistent with operational priorities

#### **Human Sources and Operations Security**

2.7

2.8

2.9

#### **Human Source**

2.10

2.11

### **3. HUMAN SOURCE COMPENSATION**

- 3.1 All human source payments or expenditures related to a human source operation are and are subject to the provisions of
- 3.2 Expenditures related to the management, direction and/or development of human source operations are for the purpose of acquiring information or receiving assistance, and are covered in

#### **Offer of Remuneration**

- 3.3 An offer of remuneration to a human source must be pre-approved in accordance with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

4.

#### **PAYMENTS**

	<b>PAYMENTS</b>	<b>AUTHORITY</b>
5.1		
5.2		
5.3		
5.4		
5.5	information and guidance on an <u>Human Sources - Compensation</u> .	For additional refer to sections 3 to 5 of <u>OPS-707-1, "Procedures -</u>
5.6		
5.7		

	<b>PAYMENTS</b>	<b>AUTHORITY</b>
6.1		
6.2		

**Payments**

6.3

information and guidance on  
Human Sources - Compensation.

For additional  
payments, refer to section 7 of OPS-707-1, "Procedures -

6.4

guidance on payments, refer to section 8 of OPS-707-1, "Procedures - Human Sources -  
Compensation.

For additional information and

**Payments**

6.5

refer to  
Compensation.

For additional information and guidance on  
section 9 of OPS-707-1, "Procedures - Human Sources -

**Payments**

6.6

6.7

For additional information or guidance on  
1. "Procedures - Human Sources - Compensation".

payments, refer to section 10 of OPS-707-

**7.****PAYMENTS**

7.1 All  
with

payments related to a human source operation

must be made in accordance

7.2

7.3

authority for an payment  
Human Sources - Compensation".

For additional information and guidance on a  
refer to section 11 of OPS-707-1, "Procedures -

## 8. PAYMENTS

8.1 All associated with the source must be made in accordance with additional information and guidance on the refer to OPS-706, "Human Sources

## 9. REMUNERATION

9.1

guidance on  
Sources - Compensation

remuneration, refer to section 12 of OPS-707-1, "Procedures - Human

# OPS-707 Operations Policies and Procedures

Secret

2011-04-01

## OPS-707 HUMAN SOURCES - COMPENSATION

### 1. INTRODUCTION

#### Objective

1.1 The Service is committed to ensuring that appropriate processes and controls are in place with regards to human source compensation. The objective of this policy is to provide direction on human source compensation and to ensure that all payments are managed with integrity, transparency and accountability.

#### Scope

1.2 This policy, in conjunction with OPS-701, "Human Sources - Human Source Program", OPS-702, "Human Sources - Case Management", and ADM-501, "Delegation of Financial Signing Authorities", outlines the principles and standards that govern human source compensation in support of human source operations.

1.3 The principles and standards described in this policy apply to all human sources, active or inactive, within the Service's human source inventory and to every employee involved in human source operations.

#### Policy Centre

1.4 The Human Sources and Operations Security (HSOS) Branch is the policy centre for all matters regarding the Human Source Program. Within the HSOS Branch:

1.5 The Finance Branch is the policy centre for the stewardship of financial resources with respect to human source compensation.

#### Authorities

1.6 The following authorities provide direction in this policy:

*Canadian Security Intelligence Service (CSIS) Act*

*Financial Administration Act (FAA)*

*Federal Accountability Act (FedAA)*

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Ministerial Direction for Operations (2008 10 29)

Ministerial Direction on Information Sharing with Foreign Agencies (2009 05 14)

*Accountable Advance Regulations*

Treasury Board Directive on Account Verification

Treasury Board Policy on Financial Management Governance

Treasury Board Policy on Internal Control

## Definitions

1.7 For definitions of specific terms used in this policy, refer to "Glossary of Terms and Definitions".

## Temporary Authority

1.8 Unless otherwise specified, when a specific position or title is mentioned in this policy, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

## Delegation of Authority

1.9 Where identified in policy, the term "or designate" denotes the option to delegate an authority to an assigned individual or position within their area of responsibility.

1.9.1 Notwithstanding any delegation of authority contained within this policy, any issue that is likely to cause embarrassment or controversy for the Government of Canada (GoC) overrides the delegated authority and must be immediately reported to the appropriate Service Executives via HSOS.

## 2. RESPONSIBILITY

### Director

2.1 The Director is responsible for the overall management of human source compensation and for seeking Ministerial approval when offers of remuneration exceed the Director's financial signing authority.

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## Chief Financial Officer

2.2 The Chief Financial Officer (CFO) is responsible for:

- supporting the Director for overall stewardship of financial responsibilities and for the integrity of the Service's overall financial management culture and capabilities;
- ensuring suitable risk based account verification procedures are in place, in compliance with the *FAA*, Treasury Board Policies and Directives;
- establishing and communicating clear responsibilities for employees with delegated signing authorities; and
- monitoring adherence to these responsibilities.

## Comptroller

2.3 The Comptroller is responsible for conducting regular Financial Management Compliance Reviews to ensure adherence to Treasury Board of Canada and CSIS policies, procedures, regulations and the *FAA*.

## Director General, Human Sources and Operations Security

2.4 The Director General, Human Sources and Operations Security (DG HSOS) is responsible for briefing the appropriate Service Executives, Headquarters Directors General (HQ DG) and Regional Directors General (RDG) on all significant matters concerning human source compensation.

2.5 The DG HSOS is responsible for providing advice, direction and assistance to Headquarters (HQ) Branches and Regions on human source compensation in support of human source operations.

## Regional Directors General

2.6 Regional Directors General are responsible for:

- managing human source compensation in the Regions;
- briefing the DG HSOS on all significant matters concerning human source compensation in the Regions;
- locally implementing the Service's human source compensation policy; and
- ensuring that expenditures related to human source operations are consistent with operational priorities

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## Human Sources and Operations Security

2.7

2.8

2.9

### Human Source

#### 3. HUMAN SOURCE COMPENSATION

- 3.1 All human source payments or expenditures related to a human source operation are and are subject to the provisions of
- 3.2 Expenditures related to the management, direction and/or development of human source operations are for the purpose of acquiring information or receiving assistance, and are covered in

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## Offer of Remuneration

3.3

3.4 An offer of remuneration to a human source must be pre-approved in accordance with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

## 4. PAYMENTS

### 5. PAYMENTS

### AUTHORITY

5.1

5.2

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5.3

5.4

5.5

5.6

5.7

6.

6.1

6.2

6.3

6.4

information and guidance on an  
"Procedures - Human Sources - Compensation".

For additional  
refer to sections 3 to 5 of OPS-707-1,

## **PAYMENTS AUTHORITY**

For additional information and guidance on a  
OPS-707-1, "Procedures - Human Sources - Compensation".

refer to section 6 of

### **Payments**

information and guidance on  
Human Sources - Compensation".

For additional  
payments, refer to section 7 of OPS-707-1, "Procedures -

### **Payments**

For additional information and guidance  
on  
payments, refer to section 8 of OPS-707-1, "Procedures - Human Sources -  
Compensation".

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## Payments

6.5

6.5.1

refer to  
Compensation.

For additional information and guidance on  
section 9 of OPS-707-1, "Procedures - Human Sources - Compensation".

## Payments

6.6

6.7

6.7.1

For additional information or guidance on payments, refer to section 10 of OPS-707-1, "Procedures - Human Sources - Compensation".

7.

## PAYMENTS

7.1 All payments related to a human source operation must be made in accordance with

7.2

7.3

authority for an payment refer to section 11 of OPS-707-1, "Procedures - Human Sources - Compensation".

8.

## PAYMENTS

8.1 All payments associated with the source must be made in accordance with of a human For

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additional information and guidance on the to OPS-706, "Human Sources"

of a human source, refer

9.

## REMUNERATION

9.1

guidance on remuneration, refer to section 12 of OPS-707-1, "Procedures - Human Sources - Compensation".

For additional information and

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**OPS-707 HUMAN SOURCES - COMPENSATION****1. INTRODUCTION****Objective**

1.1 The Service is committed to ensuring that appropriate processes and controls are in place with regards to human source compensation. The objective of this policy is to provide direction on human source compensation and to ensure that all payments are managed with integrity, transparency and accountability.

**Scope**

1.2 This policy, in conjunction with OPS-701, "Human Sources - Human Source Program", OPS-702, "Human Sources - Case Management" and (CSIS Procedures) outlines the principles and standards that govern human source compensation in support of human source operations.

1.3 The principles and standards described in this policy apply to all human sources, active or inactive, within the Service's human source inventory and to every employee involved in human source operations.

**Policy Centre**

1.4 The Human Sources and Operations Security (HSOS) Branch is the policy centre for all matters regarding the Human Source Program. Within the HSOS Branch:

1.5 The Finance Branch is the policy centre for the stewardship of financial resources with respect to human source compensation.

**Authorities**

1.6 The following authorities provide direction in this policy:

CSIS Act

Financial Administration Act (FAA)

Federal Accountability Act (FedAA)

Ministerial Direction for Operations (2008 10 29)

Accountable Advance Regulations

Treasury Board Directive on Account Verification

Treasury Board Policy on Financial Management Governance

Treasury Board Policy on Internal Control

### Definitions

1.7 For definitions of specific terms used in this policy, refer to "Policy Glossary".

### Temporary Authority

1.8 Unless otherwise specified, when a specific position or title is mentioned in this policy, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

### Delegation of Authority

1.9 Where identified in policy, the term "or designate" denotes the option to delegate an authority to an assigned individual or position within their area of responsibility.

1.9.1 Notwithstanding any delegation of authority contained within this policy, any issue that is likely to cause embarrassment or controversy for the Government of Canada (GoC) overrides the delegated authority and must be immediately reported to the appropriate Service Executives via HSOS.

## 2. RESPONSIBILITY

### Director

2.1 The Director is responsible for the overall management of human source compensation and for seeking Ministerial approval when offers of remuneration exceed the Director's financial signing authority.

### Chief Financial Officer

2.2 The Chief Financial Officer (CFO) is responsible for:

supporting the Director for overall stewardship of financial responsibilities and for the integrity of the Service's overall financial management culture and capabilities;

ensuring suitable risk based account verification procedures are in place, in compliance with the *FAA*, Treasury Board Policies and Directives;

establishing and communicating clear responsibilities for employees with delegated signing authorities; and

monitoring adherence to these responsibilities.

### Comptroller

2.3 The Comptroller is responsible for conducting regular Financial Management Compliance Reviews to ensure adherence to Treasury Board of Canada and CSIS policies, procedures, regulations and the *FAA*.

### Director General, Human Sources and Operations Security

2.4 The Director General, Human Sources and Operations Security (DG HSOS) is responsible for briefing the appropriate Service Executives, Headquarters Directors General (HQ DG) and Regional Directors General (RDG) on all significant matters concerning human source compensation.

2.5 The DG HSOS is responsible for providing advice, direction and assistance to Headquarters (HQ) Branches and Regions on human source compensation in support of human source operations.

### Regional Directors General

2.6 Regional Directors General are responsible for:

- managing human source compensation in the Regions;
- briefing the DG HSOS on all significant matters concerning human source compensation in the Regions;
- locally implementing the Service's human source compensation policy; and
- ensuring that expenditures related to human source operations are consistent with operational priorities

### Human Sources and Operations Security

2.7

2.8

2.9

### Human Source

### **3. HUMAN SOURCE COMPENSATION**

3.1 All human source payments or expenditures related to a human source operation are and are subject to the provisions of

3.2 Expenditures related to the management, direction and/or development of human source operations are for the purpose of acquiring information or receiving assistance, and are covered in :

#### **Offer of Remuneration**

3.3 An offer of remuneration to a human source must be pre-approved in accordance with the "Delegation of Financial Signing Authorities Matrix".

### **4. PAYMENTS**

4.1 PROCESSED BY CSIS UNDERTHE  
PROVISIONS OF THE PRIVACY ACT.  
4.1.1 PROCESSED BY CSIS UNDERTHE  
PROVISIONS OF THE PRIVACY ACT.  
4.1.1.1 PROCESSED BY CSIS UNDERTHE  
PROVISIONS OF THE PRIVACY ACT.

**Payments**

4.2

4.3

4.4

A authority to make payments must be requested and approved prior to any payment being made; see OPS-707-1, "Procedures - Human Sources - Compensation" for details and approving authorities.

**Payments**

4.5

4.6

4.7

See OPS-707-1, "Procedures - Human Sources - Compensation" for details and approving authorities.

**PAYMENTS**

	<b>PAYMENTS</b>	<b>AUTHORITY</b>
6.1		
6.2		
6.3		
6.4		
6.5	information and guidance on an <u>Human Sources - Compensation</u> .	For additional refer to sections 3 to 5 of <u>OPS-707-1, "Procedures -</u>
6.6		
6.7		
7.1		

7.2

**Payments**

7.3

information and guidance on  
Human Sources - Compensation".

For additional  
payments, refer to section 7 of OPS-707-1, "Procedures -

7.4

guidance on payments, refer to section 8 of OPS-707-1, "Procedures - Human Sources - Compensation".

For additional information and

7.5

refer to  
Compensation".

For additional information and guidance on  
section 9 of OPS-707-1, "Procedures - Human Sources -

7.5.1

**Payments**

7.6

7.7

For additional information or guidance on  
1, "Procedures - Human Sources - Compensation".

payments, refer to section 10 of OPS-707-

8.

**PAYMENTS**

8.1 All payments related to a human source operation  
(CSIS Procedures). must be made in accordance  
with

8.2

8.3

authority for an payment refer to section 11 of OPS-707-1, "Procedures - Human Sources - Compensation".

## PAYMENTS

9.1 All payments associated with the source must be made in accordance with the CSIS Procedures. For additional information and guidance on the refer to OPS-706, "Human Sources" of a human source,

## 10. REMUNERATION

10.1 For additional information and guidance on remuneration, refer to section 12 of OPS-707-1, "Procedures - Human Resources - Compensation".

2013-01-08

**OPS-707-1 PROCEDURES - HUMAN SOURCES - COMPENSATION****1. INTRODUCTION****Scope**

1.1 This procedure outlines the reporting requirements and Approving authorities related to human source compensation operations.

in support of human source

**2. HUMAN SOURCE COMPENSATION**

2.1 Employees should be familiar with the provisions of OPS-707, "Human Sources - Compensation" prior to requesting approval for, or providing payment to, a human source,

2.2 All payments to human sources are provisions of specified therein. under the and should be processed using the

2.3 Once the appropriate signing authority has been obtained, and the approval is the financial authority is deemed to be in effect.

**Approving Authorities**

2.4 Approving authorities for human source payments are in the "Delegation of Financial Signing Authorities Matrix"

2.5 The Minister approves an offer of remuneration to a human source that exceeds the signing authority of the Director.

3.1 should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation" regarding the

#### **4. PAYMENT AUTHORITY FOR SOURCE EVALUATION**

4.1 The provision of payments for sources in the is at the discretion of the  
The signing authorities for such payments must comply with the "Delegation of Financial Signing Authorities Matrix".

##### **Process**

4.2

##### **Approving Authorities**

4.3

4.4

**Reporting Requirements**

4.5

4.6

4.7

**5. PAYMENT AUTHORITY FOR SOURCES, HUMAN SOURCES.**

5.1 Employees should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation".

5.2 The establishment of the limit of payments for human sources is made in consideration of recommendations. The signing authorities for such payments must be made in accordance with the "Delegation of Financial Signing Authorities Matrix".

**Approving Authorities**

5.3 The appropriate signing authority in HSOS approves in accordance with the delegated signing authorities in the "Delegation of Financial Signing Authorities Matrix".

**Reporting Requirements**

5.4

Refer to OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation" and OPS-702-4, "Procedures - Human Sources - Case Management"

**6. PAYMENTS**

6.1 Employees should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation" regarding a payment.

6.2

6.3

For additional information and guidance on payments, refer to section 8

below.

#### **Process**

6.4

6.5

#### **Approving Authorities**

6.6

#### **Reporting Requirements**

6.7

Refer to OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation and OPS-702-4, "Procedures - Human Sources - Case Management.

7.

#### **PAYMENTS**

7.1

Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding payments.

7.2

The provision of payments is at the discretion of the The signing authorities for such payments must comply with the "Delegation of Financial Signing Authorities Matrix".

#### **Process**

7.3

7.4

7.5

#### **Approving Authorities**

7.6

The provision of payments is at the discretion of the appropriate financial signing authority and can be approved by the

**Reporting Requirements**

7.7

**8. PAYMENTS**

8.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding Payments.

8.2 The provision of payments is at the discretion of the The signing authorities for such payments must comply with the "Delegation of Financial Signing Authorities Matrix".

**Process**

8.3

8.4

**Approving Authorities**

8.5

8.6 payments to all other human source are approved by the appropriate signing authority in the

**Reporting Requirements**

8.7

8.8

Refer to OPS-702-4, "Procedures - Human Sources - Case Management"

8.9

Refer to

OPS-702-2, "Procedures - Human Sources - Case Management"

OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation"

and OPS-702-4, "Procedures - Human Sources - Case Management"

## 9.

9.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding the

## 9.2

The signing authorities for such payments must comply with the "Delegation of Financial Signing Authorities Matrix".

**Process**

## 9.3

## 9.4

## 9.5

## 9.6

**Approving Authorities**

9.7 The appropriate signing authority in the approves the

9.8 The appropriate signing authority in HSOS approves the of a human source for that exceed the financial signing authority of the

9.9

**Reporting Requirements**

9.10 Refer to OPS-  
702-4, "Procedures - Human Sources - Case Management"

## 10.

**PAYMENTS**

10.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding Payments.

10.2

**Process**

10.3

10.4

10.5

10.6

**Approving Authorities**

10.7 The approves the provision of an payment to a human source.

10.8 The amount of the payment must be approved by the appropriate signing authority in HQ HSOS where the amount exceeds the signing authority.

**Reporting Requirements**

10.9

Refer to OPS-702-4, "Procedures - Human Sources - Case Management

11.

**PAYMENTS**

11.1 Employees should be familiar with the provisions of section 7 of OPS-707, "Human Sources - Compensation" regarding payments

11.2

11.3

11.4

**Approving Authorities**

11.5 The RDG, or designate, approves the provision of a authority payment for a human source operation. the payment must be approved by the appropriate signing authority in accordance with the "Delegation of Financial Signing Authorities Matrix".

**12. REMUNERATION**

12.1 Employees should be familiar with the provisions of section 9 of OPS-707, "Human Sources - Compensation" regarding remuneration.

13.

**PAYMENTS**

13.1 Employees should be familiar with the provisions of section 4 of OPS-707, "Human Sources - Compensation" regarding payments

**Request for Approval**

13.2

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13.3

**Management****Human Sources - Case Management - Source Evaluation**

(see OPS-702-2, "Procedures - Human Sources - Case

(see OPS-702-3, "Procedures -

**Approving Authorities**

13.4

13.5 If the authority for individuals subject to special provisions, the is sent, to the appropriate approving authority as identified in OPS-703-1, "Procedures - Human Sources - Special Provisions".

13.6

**Process**

13.7

13.8

13.9 For individuals subject to special provisions, the relevant Director General (DG), or a higher authority (see OPS-703-1, "Procedures - Human Sources - Special Provisions").

13.10

(refer to OPS-702-5, "Procedures - Human Sources - Case Management")

**14. PAYMENTS**

14.1 Employees should be familiar with the provisions of section 4 of OPS-707, "Human Sources - Compensation" regarding payments for

**Request for Approval**

14.2

14.3

Management  
Human Sources - Case Management - Source Evaluation

(see OPS-702-2, "Procedures - Human Sources - Case(see OPS-702-3, "Procedures -**Approving Authorities**

14.4

**Process**

14.5

14.6

14.7 For individuals subject to special provisions, the relevant Director General (DG), or a higher authority (see OPS-703-1, "Procedures - Human Sources - Special Provisions").

14.8

14.9

Human Sources - Case Management(refer to OPS-702-5, "Procedures -

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**2013-01-08****OPS-707-1 PROCEDURES - HUMAN SOURCES - COMPENSATION****1. INTRODUCTION****Scope**

1.1 This procedure outlines the reporting requirements and Approving authorities related to human source compensation in support of human source operations.

**2. HUMAN SOURCE COMPENSATION**

2.1 Employees should be familiar with the provisions of OPS-707, "Human Sources - Compensation" prior to requesting approval for, or providing payment to, a human source,

2.2 All payments to human sources are provisions of specified therein. under the and should be processed using the

2.3 Once the appropriate signing authority has been obtained, and the approval is the financial authority is deemed to be in effect.

**Approving Authorities**

2.4 Approving authorities for human source payments are in OPS-309 Appendix 2, "Delegation of Financial Signing Authorities"

2.5 The Minister approves an offer of remuneration to a human source that exceeds the signing authority of the Director.

3.1 should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation" regarding the

#### **4. PAYMENT AUTHORITY FOR SOURCE EVALUATION**

4.1 The provision of payments for sources in the is at the discretion of the  
The signing authorities for such payments must comply with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

##### **Process**

4.2

##### **Approving Authorities**

4.3

4.4

**Reporting Requirements**

4.5

4.6

4.7

**5. PAYMENT AUTHORITY FOR SOURCES, HUMAN SOURCES.**

5.1 Employees should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation".

5.2 The establishment of the limit of payments for human sources is made in consideration of recommendations. The signing authorities for such payments must be made in accordance with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

**Approving Authorities**

5.3 The appropriate signing authority in HSOS approves in accordance with the delegated signing authorities in OPS-309-2, "Delegation of Financial Signing Authorities".

**Reporting Requirements**

5.4

Refer to OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation" and OPS-702-4, "Procedures - Human Sources - Case Management".

**6. PAYMENTS**

6.1 Employees should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation" regarding a payment.

6.2

6.3

For additional information and guidance on payments, refer to section 8

below.

#### **Process**

6.4

6.5

#### **Approving Authorities**

6.6

#### **Reporting Requirements**

6.7

Refer to OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation and OPS-702-4, "Procedures - Human Sources - Case Management.

7.

#### **PAYMENTS**

7.1

Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding payments.

7.2

The provision of payments is at the discretion of the The signing authorities for such payments must comply with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

#### **Process**

7.3

7.4

7.5

#### **Approving Authorities**

7.6

The provision of payments is at the discretion of the and can be approved by the appropriate financial signing authority.

**Reporting Requirements**

7.7

**8. PAYMENTS**

8.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding Payments.

8.2 The provision of payments is at the discretion of the. The signing authorities for such payments must comply with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

**Process**

8.3

8.4

**Approving Authorities**

8.5

8.6 payments to all other human source are approved by the appropriate signing authority in the

**Reporting Requirements**

8.7

8.8

Refer to OPS-  
702-4, "Procedures - Human Sources - Case Management"

8.9

Refer to  
OPS-702-2, "Procedures - Human Sources - Case Management"  
OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation"  
and OPS-702-4, "Procedures - Human Sources - Case Management"

**9.**

9.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding the

9.2 The signing authorities for such payments must comply with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

**Process****9.3****9.4****9.5****9.6****Approving Authorities**

9.7 The appropriate signing authority in the approves the

9.8 The appropriate signing authority in HSOS approves the of a human source for that exceed the financial signing authority of the

9.9

**Reporting Requirements****9.10**

702-4, "Procedures - Human Sources - Case Management"

Refer to OPS-

**10. PAYMENTS**

10.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding Payments.

10.2

**Process**

10.3

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10.6

**Approving Authorities**

10.7 The approves the provision of an payment to a human source.

10.8 The amount of the payment must be approved by the appropriate signing authority in HQ HSOS where the amount exceeds the signing authority.

**Reporting Requirements**

10.9 Refer to OPS-702-4, "Procedures - Human Sources - Case Management"

**11. PAYMENTS**

11.1 Employees should be familiar with the provisions of section 7 of OPS-707, "Human Sources - Compensation" regarding payments

11.2

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11.4

**Approving Authorities**

11.5 The RDG, or designate, approves the provision of a authority payment for a human source operation. The payment must be approved by the appropriate signing authority in accordance with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

12.

**REMUNERATION**

12.1 Employees should be familiar with the provisions of section 9 of OPS-707, "Human Sources - Compensation" regarding remuneration.

**OPS-707-1 PROCEDURES - HUMAN SOURCES - COMPENSATION****1. INTRODUCTION****Scope**

1.1 This procedure outlines the reporting requirements and Approving authorities related to human source compensation in support of human source operations.

**2. HUMAN SOURCE COMPENSATION**

2.1 Employees should be familiar with the provisions of OPS-707, "Human Sources - Compensation" prior to requesting approval for, or providing payment to, a human source,

2.2 All payments to human sources are provisions of specified therein. under the and should be processed using the

2.3 Once the appropriate signing authority has been obtained, and the approval is the financial authority is deemed to be in effect.

**Approving Authorities**

2.4 Approving authorities for human source payments are in the "Delegation of Financial Signing Authorities Matrix"

2.5 The Minister approves an offer of remuneration to a human source that exceeds the signing authority of the Director.

**3.**

3.1 should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation" regarding the

#### **4. PAYMENT AUTHORITY FOR SOURCE EVALUATION**

4.1 The provision of payments for sources in the is at the discretion of the  
The signing authorities for such payments must comply with the "Delegation of Financial Signing Authorities Matrix".

##### **Process**

4.2

##### **Approving Authorities**

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**Reporting Requirements**

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**5. PAYMENT AUTHORITY FOR SOURCES, HUMAN SOURCES.**

5.1 Employees should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation"

5.2 The establishment of the limit of payments for human sources is made in consideration of recommendations. The signing authorities for such payments must be made in accordance with the "Delegation of Financial Signing Authorities Matrix".

**Approving Authorities**

5.3 The appropriate signing authority in HSOS approves in accordance with the delegated signing authorities in the "Delegation of Financial Signing Authorities Matrix"

**Reporting Requirements**

5.4

- Human Sources - Case Management - Source Evaluation  
OPS-702-4, "Procedures - Human Sources - Case Management"

Refer to OPS-702-3, "Procedures and

**6. PAYMENTS**

6.1 Employees should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation" regarding a payment.

6.2

6.3

For additional information and guidance on payments, refer to section 8

below.

**Process**

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6.5

**Approving Authorities**

6.6

**Reporting Requirements**

6.7

Refer to OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation and OPS-702-4, "Procedures - Human Sources - Case Management"

7.

**PAYMENTS**

7.1

Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding payments.

7.2

The provision of payments is at the discretion of the The signing authorities for such payments must comply with the "Delegation of Financial Signing Authorities Matrix".

**Process**

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**Approving Authorities**

7.6 The provision of payments is at the discretion of the financial signing authority. and can be approved by the appropriate

**Reporting Requirements**

7.7

**8. PAYMENTS**

8.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding Payments.

8.2 The provision of payments is at the discretion of the The signing authorities for such payments must comply with the "Delegation of Financial Signing Authorities Matrix".

**Process**

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**Approving Authorities**

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8.6

**Reporting Requirements**

8.7

8.8

702-4, "Procedures - Human Sources - Case Management

Refer to OPS-

8.9

OPS-702-2, "Procedures - Human Sources - Case Management

Refer to

OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation and OPS-702-4, "Procedures - Human Sources - Case Management"

**9.**

9.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding

9.2 The signing authorities for such payments must comply with the "Delegation of Financial Signing Authorities Matrix".

**Process**

9.3

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**Approving Authorities**

9.7 The appropriate signing authority in the approves the

9.8 The appropriate signing authority in HSOS approves the of a human source for that exceed the financial signing authority of the

9.9

**Reporting Requirements**

9.10 Refer to OPS-702-4, "Procedures - Human Sources - Case Management"

**10. PAYMENTS**

10.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding Payments.

10.2

**Process**

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10.6

**Approving Authorities**

10.7 The approves the provision of an payment to a human source.

10.8 The amount of the payment must be approved by the appropriate signing authority in HQ HSOS where the amount exceeds the signing authority.

**Reporting Requirements**

10.9

Refer to OPS-702-4, "Procedures - Human Sources - Case Management"

**11. PAYMENTS**

11.1 Employees should be familiar with the provisions of section 7 of OPS-707, "Human Sources - Compensation" regarding payments

11.2

11.3

11.4

**Approving Authorities**

11.5 The RDG, or designate, approves the provision of a authority payment for a human source operation. the payment must be approved by the appropriate signing authority in accordance with the "Delegation of Financial Signing Authorities Matrix".

**12. REMUNERATION**

12.1 Employees should be familiar with the provisions of section 9 of OPS-707, "Human Sources - Compensation" regarding remuneration.

13.

**PAYMENTS**

13.1 Employees should be familiar with the provisions of section 4 of OPS-707, "Human Sources - Compensation" regarding payments

**Request for Approval**

13.2

13.3

(see OPS-702-2, "Procedures - Human Sources - Case

Management

(see OPS-702-3, "Procedures -

Human Sources - Case Management - Source Evaluation

**Approving Authorities**

13.4

13.5

If the authority for individuals subject to special provisions, the is sent, to the appropriate approving authority as identified in OPS-703-1, "Procedures - Human Sources - Special Provisions".

13.6

**Process**

13.7

13.8

13.9 For individuals subject to special provisions, the relevant Director General (DG), or a higher authority (see OPS-703-1, "Procedures - Human Sources - Special Provisions").

13.10

(refer to OPS-702-5, "Procedures - Human Sources - Case Management")

**14. PAYMENTS**

14.1 Employees should be familiar with the provisions of section 4 of OPS-707, "Human Sources - Compensation" regarding payments for

**Request for Approval**

14.2

14.3

Management  
(see OPS-702-2, "Procedures - Human Sources - Case Management")

(see OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation")

**Approving Authorities**

14.4

**Process**

14.5

14.6

For individuals subject to special provisions, the relevant Director General (DG), or a higher authority (see OPS-703-1, "Procedures - Human Sources - Special Provisions").

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14.9

Human Sources - Case Management

(refer to OPS-702-5, "Procedures -

# OPS-707-1 Operations Policies and Procedures

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2011-04-01

## OPS-707-1 PROCEDURES - HUMAN SOURCES - COMPENSATION

### 1. INTRODUCTION

#### Scope

1.1 This procedure outlines the reporting requirements and approval authorities related to human source compensation in support of human source operations.

#### Definitions

1.2 For definitions of specific terms used in procedures, refer to "Glossary of Terms and Definitions".

#### Temporary Authority

1.3 Unless otherwise specified, when a specific position or title is mentioned in procedures, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

#### Delegation of Authority

1.4 Where identified in procedures, the term "or designate" denotes the option to delegate an authority to an assigned individual or position within their area of responsibility.

1.4.1 Notwithstanding any delegation of authority contained within these procedures, any issue that is likely to cause embarrassment or controversy for the Government of Canada (GoC) overrides the delegated authority and must be immediately reported to the appropriate Service Executives via Human Sources and Operations Security (HSOS).

### 2. HUMAN SOURCE COMPENSATION

2.1 Employees should be familiar with the provisions of OPS-707, "Human Sources - Compensation" prior to requesting approval for, or providing payment to, a human source.

Assessment or a Source Evaluation source.

2.2 All payments to human sources are provisions of specified therein. under the and should be processed using the

2.3 Once the appropriate signing authority has been obtained, and the approval is the financial authority is deemed to be in effect.

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## Approval Authorities

2.4 Approval authorities for human source payments are in OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

2.5 The Minister approves an offer of remuneration to a human source that exceeds the signing authority of the Director.

3.

3.1 should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation" regarding the

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## 4. PAYMENT AUTHORITY

4.1 The provision of payments under a is at the discretion of the The signing authorities for such payments must comply with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

### Process

4.2

#### Approval Authorities

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4.4

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4.6

4.7 **Reporting Requirements**  
"Procedures - Human Sources - Case Management - Source Evaluation  
refer to OPS-702-3.  
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refer to OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation"

refer to OPS-702-4, "Procedures - Human Sources - Case Management"

4.8

refer to OPS-702-4, "Procedures - Human Sources - Case Management"

5.

## PAYMENT AUTHORITY

- 5.1 Employees should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation"
- 5.2 The establishment of the limit of payments is made in consideration of recommendations. The signing authorities for such payments must be made in accordance with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

### Approval Authorities

- 5.3 The appropriate signing authority in HSOS, approves in accordance with the delegated signing authorities in OPS-309-2, "Delegation of Financial Signing Authorities"

### Reporting Requirements

5.4

- Human Sources - Case Management - Source Evaluation
- OPS-702-4, "Procedures - Human Sources - Case Management"

Refer to OPS-702-3, "Procedures and

6.

## PAYMENTS

New publication

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6.1 Employees should be familiar with the provisions of section 5 of OPS-707, "Human Sources - Compensation" regarding a payment.

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additional information and guidance on payments, refer to section 8 below.

For

## Process

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6.5

## Approval Authorities

6.6

## Reporting Requirements

6.7

Refer to OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation and OPS-702-4, "Procedures - Human Sources - Case Management.

7.

## PAYMENTS

7.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding payments.

7.2 The provision of payments is at the discretion of the The signing authorities for such payments must comply with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

## Process

7.3

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7.4

7.5

## Approval Authorities

7.6 The provision of payments is at the discretion of the financial signing authority and can be approved by the

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## Reporting Requirements

### 8. PAYMENTS

8.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding Payments.

8.2 The provision of payments is at the discretion of the The signing authorities for such payments must comply with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

#### Process

8.3

8.4

#### Approval Authorities

8.5 The approves all payments to a subject. This authority cannot be delegated.

8.6 payments to all other human source are approved by the appropriate signing authority in the

#### Reporting Requirements

8.7

8.8

Refer to

OPS-702-4, "Procedures - Human Sources - Case Management"

8.9

Refer to

OPS-702-2, "Procedures - Human Sources - Case Management"

, OPS-702-3, "Procedures - Human Sources - Case Management - Source Evaluation"  
and OPS-702-4, "Procedures - Human Sources - Case Management"

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9.

9.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources - Compensation" regarding the

9.2

The signing authorities for such payments must comply with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

## Process

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### Approval Authorities

9.7 The appropriate signing authority in the approves the

9.8 The appropriate signing authority in HSOS approves the of a human source  
for that exceed the financial signing authority of the

9.9

### Reporting Requirements

9.10

OPS-702-4, "Procedures - Human Sources - Case Management"

Refer to

New publication

## New publication

## OPS-707-1 Operations Policies and Procedures

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## 10. PAYMENTS

10.1 Employees should be familiar with the provisions of section 6 of OPS-707, "Human Sources Compensation" regarding Payments.

10.2

### Process

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10.6

### Approval Authorities

10.7 The approves the provision of an payment to a human source.

10.8 The amount of the payment must be approved by the appropriate signing authority in HQ HSOS where the amounts exceeds the signing authority.

### Reporting Requirements

10.9 Refer to OPS-702-4, "Procedures - Human Sources - Case Management"

# OPS-707-1 Operations Policies and Procedures

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## 11. PAYMENTS

11.1 Employees should be familiar with the provisions of section 7 of OPS-707, "Human Sources - Compensation" regarding payments.

11.2

11.3

11.4

### Approval Authorities

11.5 The RDG, or designate, approves the provision of a human source operation. authority payment for a the payment must be approved by the appropriate signing authority in accordance with OPS-309 Appendix 2, "Delegation of Financial Signing Authorities".

## 12. REMUNERATION

12.1 Employees should be familiar with the provisions of section 9 of OPS-707, "Human Sources - Compensation" regarding remuneration.

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**OPS-707-2 PROCEDURES  
COMPENSATION****HUMAN SOURCES****1. INTRODUCTION****Scope**

1.1 To provide specific procedures for compensation of a human source

1.2

**Governing Policy**

1.3 OPS-707, Human Sources - Compensation

**2. TYPES OF PAYMENTS**

2.1 Expenditures related to human source operations are for the purpose of acquiring information or receiving assistance, and are covered in

3.

PROCESSED BY CSIS UNDER THE  
PROVISIONS OF THE PRIVACY ACT AND/OR  
ACCESS TO INFORMATION ACT.

RÉVISÉ PAR LE SCRS EN VERTU DE LA LOI  
SUR LA PROTECTION DES RENSEIGNEMENTS  
PERSONNELS ET/OU DE LA LOI SUR L'ACCÈS  
À L'INFORMATION

4.

PROCESSED BY CSIS UNDER THE  
PROVISIONS OF THE PRIVACY ACT AND/OR  
ACCESS TO INFORMATION ACT.

RÉVISÉ PAR LE SCRS EN VERTU DE LA LOI  
SUR LA PROTECTION DES RENSEIGNEMENTS  
PERSONNELS ET/OU DE LA LOI SUR L'ACCÈS  
À L'INFORMATION

5.

PROCESSED BY CSIS UNDER THE  
PROVISIONS OF THE PRIVACY ACT AND/OR  
ACCESS TO INFORMATION ACT.

RÉVISÉ PAR LE SCRS EN VERTU DE LA LOI  
SUR LA PROTECTION DES RENSEIGNEMENTS  
PERSONNELS ET/OU DE LA LOI SUR L'ACCÈS  
À L'INFORMATION

PROCESSED BY CSIS UNDER THE  
PROVISIONS OF THE PRIVACY ACT AND/OR  
ACCESS TO INFORMATION ACT.

RÉVISÉ PAR LE SCRS EN VERTU DE LA LOI  
SUR LA PROTECTION DES RENSEIGNEMENTS  
PERSONNELS ET/OU DE LA LOI SUR L'ACCÈS  
À L'INFORMATION

**Types of Payments**

PROCESSED BY CSIS UNDER THE  
PROVISIONS OF THE PRIVACY ACT AND/OR  
ACCESS TO INFORMATION ACT.  
RÉVISÉ PAR LE SCRS EN VERTU DE LA LOI  
SUR LA PROTECTION DES RENSEIGNEMENTS  
PERSONNELS ET/OU DE LA LOI SUR L'ACCÈS  
À L'INFORMATION

PROCESSED BY CSIS UNDER THE  
PROVISIONS OF THE PRIVACY ACT AND/OR  
ACCESS TO INFORMATION ACT.  
RÉVISÉ PAR LE SCRS EN VERTU DE LA LOI  
SUR LA PROTECTION DES RENSEIGNEMENTS  
PERSONNELS ET/OU DE LA LOI SUR L'ACCÈS  
À L'INFORMATION

PROCESSED BY CSIS UNDER THE  
PROVISIONS OF THE PRIVACY ACT AND/OR  
ACCESS TO INFORMATION ACT.  
RÉVISÉ PAR LE SCRS EN VERTU DE LA LOI  
SUR LA PROTECTION DES RENSEIGNEMENTS  
PERSONNELS ET/OU DE LA LOI SUR L'ACCÈS  
À L'INFORMATION

**OPS-806****HUMAN SOURCES****1. INTRODUCTION****Objective**

1.1 To provide guidance with respect to

**Scope**

1.2 this policy outlines specific provisions and processes related to the conduct of human source operations. Unless specified in this policy, all human source matters are governed by the following human source policies and related procedures or appendices:

OPS-701, "Human Sources - Human Source Program";

OPS-702, "Human Sources - Case Management";

OPS-703, "Human Sources - Special Provisions";

OPS-704, "Human Sources - Conduct

OPS-705, "Human Sources -

OPS-706, "Human Sources -

OPS-707, "Human Sources - Compensation"

**Policy Centre**

1.3 The policy centre for issues related to operational activities is the

1.4 The policy centre for issues related to the Human Source Program is the Human Sources and Operations Security (HSOS) Branch

1.5 The policy centre for issues related to the stewardship of financial resources with respect to human source compensation is the Finance Branch.

**Authorities**

1.7 *CSIS Act*

1.8 *Financial Administration Act (FAA)*

1.9 Treasury Board Policy on Internal Control

1.10 Treasury Board Policy on Financial Management Governance

- 1.11 Ministerial Direction - CSIS Operations (2008 10 29)
- 1.12 DDO Directive - Retention of Investigative Information (2008 07 08)

### **Definitions**

- 1.13 For definitions of specific terms used in this policy, readers should refer to the “Glossary of Terms and Definitions”.

### **Temporary Authority**

- 1.14 Unless otherwise specified, when a specific position or title is mentioned in this policy, the authorities and responsibilities bestowed on that position or title apply to any employee performing the duties of the position or title in an acting capacity.

## **2. POLICY STATEMENT**

- 2.1 Human sources on behalf of the Service will conduct themselves in a manner that is consistent with the mandate of the Service
- 2.2 The provisions of the human source policies (OPS-701 to OPS-707) generally apply to human sources which are noted in this policy and procedures.
- 2.3 To ensure the safety and security of human sources while satisfying Service requirements

## **3. RESPONSIBILITIES**

### **Director**

- 3.1 The Director is responsible for the overall management of the Service’s Human Source Program.
- 3.2 The Director notifies the Minister when there is a to the use of a human source such as: adverse impact discrediting the Service or the Government of Canada (GoC); a clear risk to human life

3.3 In addition to the requirements contained in OPS-701, "Human Sources - Human Source Program", the Director will also provide the number of sources in his Annual Report to the Minister.

3.4

**Chief Financial Officer**

3.4.1 The Chief Financial Officer (CFO) is responsible for:

supporting the Director for overall stewardship of financial responsibilities and for the integrity of the Service's overall financial management culture and capabilities; and

ensuring that risk-based account verification procedures are in place, in compliance with the FAA and Treasury Board policies and directives.

3.5

3.6

**Human Sources and Operations Security Branch**

3.7 HSOS is responsible for:

providing advice and direction on human source policy;  
 providing advice and direction on human source management;  
 providing advice and direction on human source processes;  
 providing advice and direction on operational security,  
 providing advice and direction on other

maintaining a review system of all human source relationships to ensure compliance with the human source policies and assess their continuing suitability and relevance to operational priorities

3.8 HSOS is also responsible for producing a summary for the Director's Annual Report to the Minister, concerning the number of human sources.

**Headquarters Branches**

3.9 HQ Branches are responsible for:

the overall management of operations involving human sources;  
 providing advice on the potential of a human source to address operational priorities

providing direction to ensure that source tasking is consistent with

providing assessment of human source reporting and its continued

producing and disseminating program reviews in relation to human source operations; and

maintaining ongoing dialogue on human source matters.

#### **4. MANAGEMENT OF HUMAN SOURCES**

4.1 Employees managing human sources must be familiar with the content of the human source policies (OPS-701 to OPS-707) regarding the management of human sources.

**5. SPECIAL PROVISIONS****Canadian Fundamental Institutions**

5.1 The special provisions stipulated in OPS-201 “Conduct of Operations - General”, OPS-701, “Human Sources - Human Source Program” and OPS-703, “Human Sources - Special Provisions” in regard to Canadian fundamental institutions (CFI), also apply to a CFI,

**Human Sources in Government**

5.2 The special provisions stipulated in OPS-201 “Conduct of Operations - General”, OPS-701, “Human Sources - Human Source Program” and OPS-703, “Human Sources - Special Provisions” in regard to human sources in government, only apply to Canadian federal government employees

5.3 The special provisions stipulated in OPS-703, “Human Sources - Special Provisions” in regard to also apply

5.4

5.5

5.6 The special provisions stipulated in OPS-703, “Human Sources - Special Provisions” in regard to also apply

5.7

5.8

5.9 The special provisions stipulated in OPS-703, “Human Sources - Special Provisions” in regard to

also apply

5.10 The special provisions stipulated in OPS-703, “Human Sources - Special Provisions” in regard to  
also apply

## 6. COMPENSATION

6.1 The provisions of OPS-707, “Human Sources - Compensation” apply to human sources  
are noted in this policy, or the related procedures.

6.2 All payments to human sources are under the provisions of

6.3 General procedures for compensation to a human source are found in  
Specific procedures for compensation of  
human sources are found in OPS-806-1 “Procedures Human Sources  
Compensation”.

**OPS-806-1 PROCEDURES  
COMPENSATION****HUMAN SOURCES****1. INTRODUCTION****Scope**

- 1.1 To provide specific procedures for compensation of a human source in support of human source operations.
- 1.2 Procedures not specified herein are detailed in

**Governing Policy**

- 1.3 OPS-806, "Human Sources".

**Related Policy**

- 1.4 OPS-707, "Human Sources - Compensation".

**2. TYPES OF PAYMENTS**

- 2.1 Expenditures related to human source operations are for the purpose of acquiring information or receiving assistance, and are covered in

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ACCESS TO INFORMATION ACT.

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**Types of Payments**

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# CSIS APPENDIX 1: FILE CATEGORIES

Secret

	<b>Governing Procedures:</b> Human Source Management
<b>Effective Date:</b> 2017-10-10	<b>Approved by:</b> DDO
<b>Policy Centre:</b> HSOS	<b>File No:</b>
<b>Version No:</b> 1	<b>French Version</b>
<b>Replaces:</b> OPS-701 Appendix 1	

## 1. ADMINISTRATIVE FILE CATEGORIES

## 2. HUMAN SOURCE FILE CATEGORIES

# CSIS APPENDIX 1: FILE CATEGORIES

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# CSIS PROCEDURE:

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	<b>Governing Policy:</b> Human Sources
	<b>Effective Date:</b> 2017-10-10
	<b>Policy Centre:</b> HSOS
	<b>Version No:</b> 1
	<b>Replaces:</b> OPS-702-6, OPS 702

## 1. INTRODUCTION

- 1.1 These procedures outline the considerations, approval authorities and reporting requirements related to the use of
- 1.2 The approvals outlined in this policy are separate from, and do not supersede, the authorities outlined in CSIS Procedure:

## 2.

# CSIS PROCEDURE:

**Secret**

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## 3. PROCESS

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PROVISIONS OF THE PRIVACY ACT AND/OR  
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# CSIS PROCEDURE:

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## 4. REQUEST FOR APPROVAL

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## 5. APPROVAL AUTHORITIES

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## 6. REPORTING

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ACCESS TO INFORMATION ACT.  
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# CSIS PROCEDURE:

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	<b>Governing Policy:</b> Human Sources
	<b>Effective Date:</b> 2017-10-10
	<b>Policy Centre:</b> HSOS
	<b>Version No:</b> 1
	<b>Replaces:</b> OPS-702, OPS-702-1 and OPS-702-2

## 1. INTRODUCTION

- 1.1 This procedure outlines the requirements related
- 1.2
- 1.3 Prior to the employee must be familiar with the requirements identified in CSIS Procedure: Human Source Special Considerations.

## 2. ASSESSMENT FOR RECRUITMENT

- 2.1 Prior to attempting to recruit a prospective human source (HS), an assessment with the approach must be conducted.

2.2

2.3

- 2.4 The use of payments may be considered if required, in accordance with CSIS Procedures: Human Source Compensation.

## 3. REQUEST FOR APPROVAL

# CSIS PROCEDURE:

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## Approvals

for an individual who is subject to special considerations, it must be approved in accordance with CSIS Procedure: Human Source Special Consideration.

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ACCESS TO INFORMATION ACT.  
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# CSIS PROCEDURE:

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4.

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ACCESS TO INFORMATION ACT.  
RÉVISÉ PAR LE SCRS EN VERTU DE LA LOI  
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5.

## REPORT

### Reporting Requirements

A Report  
following information:

must contain the

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ACCESS TO INFORMATION ACT.  
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# CSIS PROCEDURE:

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	<b>Governing Policy:</b> Human Sources	
	<b>Effective Date:</b> 2017-10-10	<b>Approved by:</b> DDO
	<b>Policy Centre:</b> HSOS	<b>File No.:</b> _____
	<b>Version No:</b> 1	French Version
	<b>Replaces:</b> OPS-702, OPS-702-1, and OPS-702-4	

## 1. INTRODUCTION

1.1 This procedure outlines the requirements for

1.2

1.3

1.4 a promise of confidentiality will be extended to the  
in accordance with  
HS at the first appropriate opportunity  
CSIS Procedure: Human Source Management.

## 2. REPORTING REQUIREMENTS

## CSIS PROCEDURE:

**Secret**

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### Special Considerations, as appropriate

Approvals relating to HSs requiring Special

Considerations must be sought in accordance with CSIS Procedures: Human Sources  
Special Considerations.

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## CSIS PROCEDURE:

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Source File Management:

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## CSIS PROCEDURE:

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# CSIS PROCEDURE:

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## 3. PROCESSING

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(refer to CSIS Procedure: Human Source

# CSIS PROCEDURE:

Secret

## 4. APPROVALS

4.1

4.2

including payment authority in accordance with  
CSIS Procedure: Human Source Compensation,

## 5. PROMISE OF CONFIDENTIALITY

5.1

the employee  
will extend a promise of confidentiality to the HS at the first appropriate opportunity

5.2

For more information on the  
refer to CSIS Procedure: Human Source Management.

# CSIS PROCEDURE: CONDUCT OF HUMAN SOURCE OPERATIONS

Secret

	<b>Governing Policy:</b> Human Sources
	<b>Effective Date:</b> 2017-10-10
	<b>Approved by:</b> DDO
	<b>Policy Centre:</b> HSOS
	<b>File No.:</b>
	<b>Version No.:</b> 1
	<b>French Version</b>
	<b>Replaces:</b> OPS 701, OPS 702, OPS-702-1 and OPS-704-1

## 1. INTRODUCTION

- 1.1 This procedure outlines requirements related to the conduct of human source (HS) operations.
- 1.2 HS operations are to be conducted in a manner that promotes employee and HS safety and security,

## 2. DISCLOSURES